

10-11-00

**PATENT**  
Docket No. RSW9-2000-0107-US1

**Express Mail** Label No. EL598705235US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**INVENTOR(S):** James R. Kraemer

**APPLICATION NO.** Not Yet Assigned

**FILED:** Herewith

**TITLE:** **SYSTEM AND METHOD FOR AUTOMATICALLY  
REBALANCING PORTFOLIOS BY SINGLE RESPONSE**

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence, along with any papers indicated as being enclosed, are being deposited as Express Mail, (Label No. EL598705235US), postage prepaid, in an envelope addressed to: Box Patent Application, Commissioner for Patents, Washington, D.C. 20231, on October 10, 2000.

  
Sylvia Prawl

**BOX PATENT APPLICATION**  
Commissioner for Patents  
Washington, DC 20231

**NEW APPLICATION TRANSMITTAL LETTER**

**Sir:**

Enclosed are the following papers relating to the above-named new application for patent:

1. Specification (17 pgs.), claims (4 pgs.) and abstract (1 pg.);
2. Drawings (3 sheets) **informal**;
3. Declaration and Power of Attorney (**executed**); and
4. Assignment Recordation Form Cover Sheet (in duplicate) and executed Assignment.

CLAIMS AS FILED				
	No. Filed	No. Extra	Rate	Calculations
Total Claims	31 - 20 =	11	\$18	\$198.00
Independent Claims	3 - 3 =	0	\$80	\$0.00
Multiple Dependent Claim(s), if applicable			\$260 =	\$0
Basic Filing Fee				\$710.00
			Total Fee:	\$908.00

09/685398  
10/10/00

Please file the application and charge **International Business Machines (IBM) Account No. 50-0629** the amount of **\$948.00** to cover the filing (\$908.00) and Assignment recordal (\$40.00) fees. Two copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **Deposit Account No. 50-0629** as required to correct the error.


Please address all correspondence to:

Esther H. Chong, Esquire  
Synnestvedt & Lechner LLP  
2600 Aramark Tower  
1101 Market Street  
Philadelphia, PA 19107-2950

Telephone calls should be directed to the undersigned at (215) 923-4466.

Respectfully submitted,

10/10/2000  
Date

  
Esther H. Chong  
Registration No. 40,953  
Attorney for Applicant  
International Business Machines Corporation